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# ASSE Certification Scheme Procedure



ASSE  
POLICY & PROCEDURE

No: A-001

Title: ASSE Certification Scheme Procedure

Approved By: TB

Revision Date: 01/04/2024

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PREAMBLE

Written operating procedures shall govern the methods used for maintaining the product listing program and shall be available to any interested person. These operating Procedures are maintained by ASSE International Chapter of IAPMO LLC (“ASSE International” or “ASSE”).

The Product Listing Program (PLP) is a type V certification scheme that ASSE uses for its listing program. The Product Listing Team (PLT) is responsible for reviewing and granting product listings. The Seal Control Board, an integral part of the Product Listing Team appointed by the ASSE International Board of Directors, is an advisory committee to the ASSE International Board of Directors. The Manager of Product Certification and Standards shall be responsible for reviewing requests for extending a product listing.

Display of the ASSE Seal and the applicable standard number shall indicate that the product(s) has completed the certification process by the Product Listing Team as meeting the material and performance requirements of the applicable product standard and the current edition of the A-010A *Display of ASSE Seal*.

Display of the ASSE Seal is not a product endorsement.

Display of the SCC mark is not an endorsement of ASSE or the products ASSE lists by SCC.

For listees with ASSE listed products sold in Canada, SCC is the final level of appeal in disputes regarding conformance with certification and accreditation criteria.

All certification services are available internationally, including all parts of Canada and the United States.

ASSE declares responsibility for decisions relating to granting, maintaining, extending, suspending, and withdrawing of certification.

ASSE International

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## **1. ASSE SCHEME PROCEDURES AND PRODUCT LISTINGS**

### **1.1 Scope**

The scope of the Product Listing Program (PLP) of ASSE International includes the listing of products, including devices, fittings, appliances, and materials pertaining to plumbing, water treatment and piping systems which are in the interest of protecting public health. The listing of products includes requirements for safety, health, construction, maintenance, performance and/or operation of equipment and materials for plumbing, water treatment and piping systems as referenced by ASSE and other applicable industry standards. All certification activities with respect to listees', including but not limited to, listing requirements, evaluations, reviews, decisions, and surveillance are confined to the scope of certification with ASSE.

## **2. APPLICATION REQUEST**

### **2.1 Applicant**

Applications for the ASSE Seal shall be requested by a product manufacturer who is responsible for its design, production and any subsequent changes or licensee (hereinafter referred to as the applicant). To request application documents in French, a written request shall be sent to the attention of ASSE's Product Listing Team.

### **2.2 Application Packet, Forms and Questions**

- A. Upon request, the ASSE International Office shall forward an application packet, complete with instructions, procedures and required forms to the Applicant. The application packet shall include a list of all ASSE listed testing laboratories or agencies (hereinafter referred to as listed testing laboratory) capable of testing to the applicable product standard(s), the Product Listing Contract, and the listing agreement.
- B. All ASSE application documents and product listing forms are controlled documents and the format of them shall not be amended by any party other than ASSE.

### **2.3. Applicant's Responsibilities**

- A. The applicant shall make all arrangements with the listed testing laboratory for conducting the product(s)' testing and shall be responsible for all costs incurred.
- B. The applicant shall forward all required documentation as referenced in the Product Listing Contract to ASSE. Applicants shall submit a completed ASSE Product Listing Contract for all products or series of products, under one standard.

### **2.4. Explanation or Clarification Regarding the ASSE Product Listing Process**

For an explanation or clarification regarding the ASSE product listing process, the applicant, ASSE listee or an ASSE listed testing laboratory shall contact the Product Listing Team.

### **3. APPLICATION SUBMITTAL AND CERTIFICATION**

#### **3.1. Application Materials**

- A. The initial application shall include:
1. From the listed testing laboratory or applicant:  
One copy of the completed laboratory report(s) for the product(s) tested to the required sections of the standard shall be submitted to the attention of the Product Listing Team. Laboratory reports to ASSE standards shall be submitted using the appropriate Laboratory Evaluation Report Form (LERF), unless waived by the Product Listing Team.
  2. From the applicant:
    - a. One set of installation instructions, maintenance instructions, catalogue cut sheets and spare parts lists, and copies of safety labels and instructions if required by the standard or by the Authority Having Jurisdiction of where the product is intended to be marketed. The Standards Council of Canada (SCC) Mark shall not appear on the product or the product's packaging.
    - b. A drawing identifying the location of the ASSE Seal on the product(s);
    - c. A completed and signed Product Listing Contract;
    - d. One set of assembly drawing(s) [exploded view drawings are acceptable] and/or bill of materials;
    - e. If requested, one set of individual detailed parts drawings of the components of the product with a complete material listing;
    - f. A completed Wetted Parts List (WPL) as required;
    - g. The quality manual from each factory;
  3. All items shall be sent to the attention of a member of the Product Listing Team or [staffengineer@asse-plumbing.org](mailto:staffengineer@asse-plumbing.org).
- B. All application materials, including relevant safety labels, shall be submitted in English. If the product is intended to also be marketed in Canada in addition to the US, the applicant shall provide copies of the items as requested in Section 3.1.A.2.a in both English and French.
- C. Toxicity Requirements
1. Testing regarding toxicity or verification of compliance to toxicity requirements, as applicable, shall be accepted by ASSE if the laboratory's internationally recognized ISO/IEC 17025 accreditation includes the appropriate standard (e.g. NSF/ANSI/CAN 61) within its scope of accreditation.
  2. If the toxicity requirements are reviewed or verified by a laboratory not meeting the above criteria, ASSE will subcontract a toxicologist to review the data prior to balloting the application. Any fees for the subcontracted toxicologist will be billed to the applicant.
- D. Transfer Applications
1. The scope of a transfer application is a set of products that are currently certified by another certification body to the same standard and revision.
  2. See section 13 Transfer Applications and Secondary Reviews & Decisions for further requirements.

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**3.2. Application Review Time Period**

- A. Regular review – regular review applications have a fifteen-business day ballot period.
- B. Accelerated review – requires an additional fee and has a five-business day ballot period.

**3.3. Application Requirements**

- A. Applications, including test results, must be submitted to the current edition of the standard in order to be accepted for review by ASSE, excluding the provisions as outlined in Section 8.1.
- B. Applications may include more than one model or series of models; however, all the models must pertain to the same product performance standard.

**3.4. First Time Applicant (or new manufacturing facility) Quality System Requirements**

For quality system requirements, refer to R-019.

**NOTE:** Incomplete applications will not be processed until such time that the applicant can supply all the required data and documents to ASSE. Incorrect applications may be charged an additional fee based on the time and cost involved to correct the application.

**3.5. Product Listing Team Administration**

- A. Upon receipt, the Product Listing Team shall determine if the application includes all items referenced in Section 3.1 and that ASSE has the capability to perform the certification review for the application submitted by verifying that the requested scope of listing is in Appendices B and C. The Product Listing Team is obligated to decline the application if the scope of listing is not within ASSE International's capabilities. Applications to be listed to parts or fractions of standards will be declined unless allowed in the standard (e.g. NSF/ANSI/CAN 61).
- B. Bracketing of models is allowed as a part of the evaluation planning and is considered an evaluation activity. It shall be performed by an individual deemed competent on the Product Listing Team. Bracketing performed by the testing laboratory must be approved in writing by the Product Listing Team. Bracketing is defined as the selection of products and tests to justify the certification of other, non-selected products.
- C. The Product Listing Team shall notify the applicant or the listed testing laboratory, in writing, of any documentation omissions and errors and the corrective action required. The application is not forwarded until all application documentation is complete and correct.
- D. If the application includes all required documentation, the Product Listing Team shall forward the application materials to the Evaluator(s) for evaluation.
- E. For products that require toxicological testing, the evaluation plan shall be sent to the laboratory to initiate testing.

**3.6. Evaluation**

- A. The Evaluator(s) shall be a person or persons deemed competent for performing the evaluation function for a specific scope of certification. Competency is defined by those standards listed on an individual's R-095.

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- B. The Evaluator(s) shall evaluate the laboratory report, technical data and supporting documents as submitted by the listed testing laboratory in comparison to the technical data and supporting documents submitted by the applicant, including, but not limited to, laboratory report, certifications, drawings, markings, verification of compliance for toxicity requirements (if applicable), installation instructions and spare parts lists. The Evaluator(s) shall verify the documents are complete and in order and ensure that ASSE has the technical expertise for the certification review of the application submitted.
- C. If the Evaluator(s) determines that the application is complete, the application will be forwarded to the Product Listing Team to be reviewed in accordance with Section 3.7 and confirmed in accordance with A-002 Seal Control Procedures (SCP).
- D. If the Evaluator(s) determines that item(s) pertaining to technical data or documentation are incorrect or incomplete or contain a non-conformity, the Evaluator(s) shall communicate with the applicant and/or the listed testing laboratory and advise them accordingly. If the product requires a retest to specific sections of the standard in order to address technical deficiencies, both the applicant and lab will be informed.
- E. If the applicant requests a deviation to the certification relative to the standard, the instructions in A-002 Seal Control Procedures (SCP) shall precede the review and decision.
- F. The applicant and/or the listed testing laboratory shall have fifteen days to respond to the Evaluator(s). Failure to respond may be cause for rejection of the application.
- G. Once the necessary documentation is returned to ASSE and if the documentation is determined to be:
  - 1. Incorrect, the Evaluator(s) shall:
    - a. Direct the Product Listing Team to communicate to the applicant the reason(s) the application is incomplete; or
    - b. Continue to work with the applicant and/or the listed testing laboratory, if their interest in continuing is expressed, until all issues and non-conformities are addressed including additional evaluation tasks as noted by the Evaluator(s) to the applicant. The process repeats starting from 3.6.A.
  - 2. Correct, the Evaluator(s) shall complete the Technical Evaluation Form and the application will be forwarded to the Product Listing Team to be reviewed in accordance with Section 3.7 and confirmed in accordance with A-002 Seal Control Procedures (SCP).
- H. The applicant shall be responsible for any additional costs, as determined by ASSE.

**3.7. Review**

- A. A competent reviewer shall review the Evaluator's evaluation. Competency is defined by those standards listed on an individual's R-095.
- B. The Evaluator shall verify that the reviewer is competent for the standard being reviewed.
- C. Prior to completing the review, the results of all applications requiring Seal Control Board (*see A-002 Seal Control Procedures (SCP) for details*) ballots shall comply with A-002 Seal Control Procedures (SCP).
- D. The reviewer shall not be the same individual who performed the evaluation.



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- E. The reviewer shall review all information gathered and generated during the evaluation. A review may consist of:
  1. Verifying all appropriate documents have been received;
  2. The product listing contract has been executed and the information matches the proposed certification;
  3. The testing and/or bracketing comprises all models on the contract;
  4. The Technical Evaluation Form has been appropriately completed;
  5. The Seal Control Board Ballot results.

### **3.8. Decision**

The reviewer shall make the decision as to whether or not ASSE shall grant or continue to grant certification to the applicant regarding the products in question.

- A. The new listing will be published on ASSE's website.
- B. The applicant (hereinafter referred to as the listee) shall be notified by a member of the Product Listing Team.
- C. Under the signature of the Executive Director, a Seal Listing Certificate identifying the listee's name and address, ASSE's name and address, the standard's numerical designation and revision date, the model(s), the product seal record number, the listing date, and the listing expiration date shall be included with the notification of certification.

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## 4. DISPOSITION OF THE ASSE SEAL

### 4.1 Voluntarily

When a manufacturer voluntarily terminates (i.e. deactivates) their ASSE Seal Listing, the listee shall:

- D. Specify the date at which the deactivation takes effect.
- E. Remove the ASSE Seal from all product literature, instructions, packaging, and other printed material, including advertising matter;
- F. Remove the ASSE Seal from any deactivated products such that only certified products may bear the ASSE Seal when being placed into the market.

The process of voluntary deactivation or withdrawal of a listee's seal is listed under Section 9.6.

### 4.2 Involuntarily

See Section 9.

## 5. RENEWALS

### 5.1. Annual Renewal

- A. Annually, all listees shall receive a Seal Authorization Renewal Notice. This notice shall include:
  - 1. The amount due for each listing.
  - 2. A statement affirmed by the listee through payment that the product(s) has not changed or been modified in the past year.
  - 3. A statement which reads: "If the product(s) is produced at a facility subcontracted by the listee, the signature of the listee's duly authorized representative also confirms that the manufacturing facility has not made any changes to the design of the product, the materials of the product or to the material suppliers without prior notification to ASSE."
- B. Renewal status is not official until the renewal fee is received in the ASSE International Office and a renewal certificate is issued.
- C. The Seal Renewal Notice, certificate, and invoice generated is issued 4 months prior to the certificate expiration date to allow for the listee to pay the invoice by the time the current certificate expires and the new one begins.

### 5.2. Updated Material Listing

- A. At ASSE's discretion, ASSE shall require the listee to submit a complete material listing at the time of renewal.
- B. Before the listing shall be renewed, the Manager of Product Certification and Standards shall compare the material listing as submitted by the listee with the material listing on file to verify no changes to the materials have been made without prior written authorization from ASSE.
- C. If the Manager of Product Certification and Standards determines that an unauthorized modification has been made to the materials, the Manager of Product Certification and Standards shall then follow the steps in Section 9.2.
- D. Should the Manager of Product Certification and Standards determine that no unauthorized modifications have been made to the materials, a recommendation to the Product Listing Team that the listing be renewed shall be made.

### 5.3. Seal Renewal Process

- A. During the annual Seal Renewal Process, a member of the Product Listing Team will review documentation that ASSE has for a listed model(s) under each seal. This includes drawings, installation instructions, specification sheets, bill of materials, and listing contracts.
- B. If during the Seal Renewal process, it is found that documentation is missing, a letter shall be sent outlining what is missing and that the updated documentation shall be provided in the timeline described in the letter.
- C. This letter also includes information verifying any need for testing, the revision of the standard that the seal is listed to, and the listed manufacturing facility. This letter is sent regardless of whether there is missing documentation.

## **6. MODIFICATIONS TO A LISTED PRODUCT**

### **6.1. Modification(s) to a Listed Product**

- A. When a listee intends to make a modification(s) to an ASSE listed product(s), including a material modification, a full description of the intended modification(s), along with new technical data or drawings, shall be submitted, in writing, to the ASSE Product Listing Team.
- B. Upon receipt, the Product Listing Team shall forward the request with the supporting documentation to a selected Evaluator(s) for evaluation.
- C. The Evaluator(s) shall determine if the modification does or does not affect the performance of the product as it relates to the applicable product standard.

### **6.2. Modification(s) Not Affecting Performance**

- A. If the Evaluator(s) determines that the modification(s) does not affect the performance of the product as it relates to the applicable standard (nonfunctional modification) and, as such, no additional testing will be required, the modification is considered non-technical.
  - 1. Examples of nonfunctional changes to a product listing include, but are not limited to, exterior trim options, exterior finishes such as chrome, satin chrome, and polished, additional types of end connections of the same pipe size as the original listed product, consolidations of records, and additional marketing product designation numbers.
- B. The Product Listing Team shall inform the listee of the results of the modification request.

### **6.3. Modification(s) Affecting Performance (i.e. Technical Modifications)**

- A. If the Evaluator(s) determines that the change may affect the performance as it relates to the applicable standard and therefore determines additional testing is necessary, the Evaluator(s) shall make a recommendation for further testing.
- B. If additional testing is required, the listee shall submit the product(s) to a listed testing laboratory for testing to the standard as required.
- C. If testing is required, the following shall be followed:
  - 1. The listee shall submit any documentation as listed in Section 3.1 of these procedures that change as a result of the modification.
  - 2. The Evaluator(s) shall evaluate the laboratory report and all documentation.
  - 3. After evaluation by the Evaluator(s), the review and decision procedures as listed in Sections 3.7 and 3.8 shall be followed.

### **6.4. Unauthorized Product Modification**

If an ASSE listed product(s) is modified by the listee or the manufacturer without prior, written authorization from ASSE, the procedures in Section 9.2 shall be followed.

### **6.5. Modification Fees**

- A. The modification fee shall be the responsibility of the listee.

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## **7. PRIVATE LABELS (ADDITIONAL PRODUCT LISTINGS)**

### **7.1. Private Labels (Additional Product Listings)**

- A. A private label shall exist if a current listed product is intended to be marketed by a company under a different name than the listee.
- B. Should an ASSE listee desire to additionally list a current listed product to be marketed as a private label by another company, the listee shall complete the Private Label Traceability Form, which can be obtained upon request.
- C. Upon completion, the listee shall submit the Private Label Traceability Form to the Product Listing Team.
- D. A private label request fee will apply to process the request and issue a listing certificate for the private label company.
- E. If the parent of a private label seal is delisted, the private label has until the next renewal date (unless the parent delisting was for health and safety reasons) to either change their status to a full ASSE Seal or be delisted.

## **8. REVISIONS TO A PRODUCT STANDARD**

### **8.1. Applications under the Current Edition**

- A. The ASSE Product Listing Team shall review revised standards and determine the ASSE Product Certification adoption date for the standard. When adopted, ASSE will update the A-002 Seal Control Procedures Appendices and inform all listed companies and recognized testing laboratories of the adoption date.
- B. An application received within six months of the adoption of the revised ASSE standard may be submitted under the previous edition of the product standard.
- C. For any application received after the six-month adoption date, the listee shall be notified that the application shall comply with the revised standard.
- D. If the product is at a listed testing laboratory and the testing cannot be completed within the six-month time frame, the applicant can submit a written request for an extension. The request shall include a statement from the listed testing laboratory indicating the approximate completion date.
  - 1. An exception to the rule may be granted upon written approval of the Product Listing Team.

### **8.2. Updating to the Revised Edition**

- A. After release and adoption of a revised standard, the Product Listing Team shall inform listed companies of the revised standard, review the revised standard, and decide on additional tests, if any, needed to maintain listings.
- B. If no further testing is needed, the applicable listing(s) will be updated to the revised edition of the standard and the listee shall be notified.
- C. If retesting is necessary to maintain the listing, the product(s) shall be tested to either the revised section(s) or the complete standard. The Product Listing Team will inform all listed companies of the allowed retesting timeframe and the timeframe for compliance to the revised standard.
  - 1. All listees with products listed to the previous revision of the standard shall be informed of the testing requirements through direct correspondence.
  - 2. The listee and/or the listed testing laboratory shall submit to ASSE a revised laboratory report.
  - 3. The laboratory report shall be evaluated by a selected Evaluator(s). Should the Evaluator(s) have any questions regarding the laboratory report or need any further documentation, the Evaluator(s) shall contact the listee or listed testing laboratory for clarification.
  - 4. Should the listee elect not to submit the product(s) for retesting, the listee shall notify ASSE in writing and the product(s) listing shall be removed. The listee will be notified upon completion of the removal of the listing that the product can no longer carry the ASSE Seal.
  - 5. If the listee does not notify ASSE and a revised laboratory report is not submitted by the required compliance date, samples will be selected at the next factory audit to be sent in for rush testing. The procedures in Section 10.4 shall be followed.

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**8.3. Withdrawal of an ASSE Product Standard**

- A. When ASSE International withdraws a standard, the Product Listing Team shall notify all listees with products listed under the withdrawn standard in writing.
- B. Listing(s) can be maintained for three years from the date of withdrawal.
- C. At the close of the three-year withdrawal date, the standard and all products listed under the standard shall be removed. The listee shall be notified that the product can no longer carry the ASSE Seal.

## **9. SUSPENSIONS & REMOVAL OF PRODUCT LISTINGS**

### **9.1. Suspensions for Health or Safety**

- A. Health or Safety Hazard within the Applicable Standard.
  - 1. Should the ASSE Board of Directors, Product Standards Committee or Product Listing Team determine that a health or safety hazard associated with a product standard exists, all products listed under the affected standard shall be suspended immediately.
  - 2. The Product Listing Team, under signature of the Executive Director, shall notify in writing all listee(s) with products listed under the affected standard that their product(s) are suspended. The listee shall also be informed that any products produced after the date of notification of the suspension shall not carry the ASSE Seal Logo until further notice from ASSE.
  - 3. Upon resolution of the health or safety issue(s), if the product's performance as it relates to the applicable standard is not affected, the listee(s) listing shall be reinstated and the listee(s) shall be notified in writing.
- B. If the product's performance is affected, the listee(s) shall be notified in writing, that the product(s) shall be retested to the standard or to those section(s) of the standard, as determined by the Product Listing Team before reinstatement can be granted.
- C. Listee-Recognized Hazardous Situation.
  - 1. If a listee recognizes a potential hazardous situation with a listed product, ASSE shall be notified within 30 days from recognition of the problem.
  - 2. The listing shall therefore be suspended until such time as acceptable corrective action can be submitted by the Listee.
  - 3. The Listee will be informed by the Product Listing Team of the suspension of the listing on the products and that any products produced after the date of notification of the suspension until further notice from ASSE shall not carry the ASSE Seal Logo.
  - 4. After receiving notification of suspension of the ASSE listing from the Product Listing Team, the listee shall make no misleading claims regarding the certification of the product during the time of the suspension.
- D. If an inventory of products produced prior to the date of suspension carrying the ASSE Seal Logo exists, the Listee shall be responsible to notify all relevant existing and potential customers that the certification on the product has been suspended. A copy of this notification shall also be sent to ASSE.
- E. The listee shall have 60 days to submit corrective action to ASSE.
- F. The Product Listing Team shall determine if the corrective action is acceptable and if so, shall notify the Listee that the listing can be reinstated.
- G. ASSE's Responsibilities:
  - 1. For all listings removed due to a potential health or safety hazard, ASSE shall also take all measures possible to contact the appropriate regulatory authorities, including but not limited to the Canadian Advisory Council on Plumbing, and inform them of the suspension of the product listing when relevant.



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2. If any safety related product incidents or a safety related recall occurs that ASSE is aware of, ASSE as an accredited third party certification body, shall inform the Canadian Regulatory Authority Advisory Body and copy the Standards Council of Canada in writing in accordance with the SCC Requirements and Guidance – Product, Process, and Service Certification Body Accreditation Program.

**9.2. Suspensions Due to an Unauthorized Modification**

- A. If an ASSE listed product(s) is modified by the listee or the manufacturer without prior, written authorization from ASSE, the Product Listing Team shall immediately contact the listee stating the product listing has been suspended.
- B. The listee shall have 30 calendar days from date of notification of the suspension to respond to ASSE.
- C. The listee shall be informed that any products produced after the date of notification of the suspension until further notice from ASSE shall not carry the ASSE Seal Logo.
- D. If the listee responds within the allotted time frame of thirty (30) calendar days, ASSE will determine the next course of action.
- E. If the listee does not respond within the allotted time frame, the listing will be delisted and the listee informed. The status of the listing shall then be considered inactive.

**9.3. Suspensions Due to a Failure of Factory Audit Retesting**

- A. Should two consecutive samples of the selected product fail the necessary testing or should the Product Listing Team determine a suspension of the product listing is necessary per Section 10.6.C & D, the Product Listing Team shall contact the listee stating the product listing has been suspended due to failure to conform to the applicable product standard performance requirements.
- B. The listee shall be informed that any products produced after the date of notification of the suspension, until the date of reinstatement, shall not carry the ASSE Seal Logo.
- C. Should the listee elect to reinstate the listing, the listee shall have thirty (30) days from the date of notification to address the reason for failure of the testing and re-submit the product to an ASSE listed testing laboratory for the applicable retesting.
- D. The test results shall be submitted to ASSE directly by the listed testing laboratory and/or listee within six months from the date of notification of the suspension. If six months is not enough time period to complete the testing, the listed testing laboratory shall submit a letter of explanation, including an estimated completion date to ASSE.
- E. The listee shall submit documentation detailing the corrective action to address the failure.
- F. Upon receipt of the required documentation and the Laboratory Evaluation Report form, the Evaluator(s) shall evaluate the documentation.
- G. The Evaluator(s) shall make a recommendation to the Reviewer to either reinstate or delist the listing.
- H. The Product Listing Team shall then notify the listee of the results.

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**9.4. Suspensions Due to a Failure of Retesting as Requested by ASSE to Resolve a Complaint**

- A. After following the steps as described in R003, if the retesting of a product due to a complaint received by ASSE indicates that the product is no longer in compliance with the requirements of the standard, the listee shall be notified by the Product Listing Team that the product listing has been suspended due to failure of testing as requested by ASSE to settle a complaint submitted regarding the product.
- B. The listee shall be informed that any products produced after the date of notification of the suspension until the date of reinstatement shall not carry the ASSE Seal Logo.
- C. In order for the listing to be reinstated, the listee shall submit documentation that the cause for failure has been modified along with new testing confirming that the product meets the applicable product standard within six months from the date of notification of the suspension.
- D. The documentation submitted by the listee along with the test results shall first be reviewed by the Product Listing Team for completeness, then evaluated by an Evaluator(s), and then reviewed by the Manager of Product Certification and Standards.
- E. If the Manager of Product Certification and Standards authorizes the request, the listing shall be reinstated to an active listing.
- F. If the Manager of Product Certification and Standards rejects the request, the listing will be delisted.
- G. In order to obtain the listing again, the steps in C and D shall be followed.

**9.5. Suspensions Due to a Failure of Submitting the Necessary Corrective Action**

- A. If the corrective action is not submitted as explained in Section 10.10, the affected listings will be suspended.
- B. The listee shall be notified by the Product Listing Team that the product listing(s) has been suspended due to failure to submit the necessary corrective action.
- C. The listee shall be informed by the Product Listing Team that any products produced after the date of notification of the suspension shall not carry the ASSE Seal Logo until the date of reinstatement.
- D. For the listing to be reinstated, the listee shall submit to ASSE the necessary corrective action within 5 business days from the date of notification of the suspension.
- E. If the Listee fails to respond as required in 9.5.D, the listing will remain suspended.
- F. In order to be reinstated, the Listee will be required to follow the procedures as outlined in C and D.

**9.6. Deactivating (Voluntary Delisting) a Product Listing or Removing Listed Models**

- A. Listees wanting to deactivate or withdraw their listings shall complete the “Deactivation Request with checklist” form or request in writing that the listing be deactivated or the removal of specific models.
- B. The Listee shall be responsible to verify that as of the date of the deactivation of the ASSE listing, future production of the deactivated models do not carry the ASSE Seal Logo. For

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product currently certified that are being requested for delisting, the listee is allowed 6 months to reduce inventory.

- C. Literature such as specification sheets, advertising, packaging, websites, and other print or digital media shall not display the ASSE seal logo on any models produced after the deactivation date. The listee is allowed a maximum 6 months to reduce literature stock only on models produced prior to the deactivation stock.

**9.7. Deactivation (involuntary delisting)**

- A. Listees who fail to pay invoices shall have the seal(s) deactivated or suspended. The responsibilities defined in section 9.8 shall apply.

**9.8. Listee Responsibilities – Notification of Suspension/Involuntary Deactivation**

- A. The Listee shall be responsible to verify that as of the date of the suspension/deactivation of the ASSE listing, any products produced do not carry the ASSE Seal Logo.
- B. After receiving notification of suspension/deactivation of the ASSE listing, the listee shall make no misleading claims regarding the certification of the product during the time of the suspension. This includes but is not limited to specification sheets, advertising, packaging, websites, and other print or digital media.
- C. If an inventory of products produced prior to the date of suspension, carrying the ASSE Seal Logo, exists, the Listee shall not distribute inventory without permission of ASSE.

**9.9. Reinstatement of a Seal after Suspension**

- A. A listee shall have 30 days after being notified of a product's or seal's suspension or involuntary delisting to perform a permanent corrective action and submit evidence of it to the Product Listing Team.
- B. The Product Listing Team shall compile the documentation for evaluation. The Evaluator(s) shall make a recommendation to the reviewer to either reinstate or delist the product or listing based on their evaluation.
- C. If the reviewer determines that the product or seal must be delisted, the steps in Section 9.6 of B and C shall be followed.

## **10. INSPECTIONS FOR PRODUCT LISTING COMPLIANCE**

### **10.1. Compliance Inspections**

- A. The ASSE Product Listing Team or an independent agency contracted by ASSE shall conduct, at a minimum, an annual announced or unannounced inspection of all manufacturing facilities for all ASSE listed products. The inspection shall be conducted to ascertain that:
1. The listed manufacturing facility has an acceptable quality control system in conformance with R019 of these procedures and that the system is implemented per their Quality Control Manual.
  2. ASSE listed products display the proper markings as required by the applicable product standard, the ASSE Standard number and the ASSE Seal.
  3. No modifications have been made to the original listed product without prior written consent from the ASSE Seal Control Board.
  4. No unauthorized display of the ASSE Seal is being used.
  5. Inspections shall be conducted by qualified personnel as defined by ASSE and may be observed by a representative of an accreditation body.
  6. Inspections shall be conducted using personnel competent to ISO/IEC 17020 and 17021.
  7. Listees shall be billed for all costs incurred for the inspection unless written notice from the listee advises ASSE to direct billing to the manufacturer on record.
  8. Listee shall make all necessary arrangements for the auditor once ASSE's Product Listing Team or the independent agency has made first contact with the listee and provided the names of the individuals in the audit party, including justification of any observers or technical experts. Observers and technical experts shall not interfere or influence the audit.
  9. ASSE's Product Listing Team or the independent agency shall, upon request, provide a summary of each audit party member's background. ASSE's Product Listing Team or the independent agency shall inform the listee in advance if any additional observers will be present during the audit. The necessary arrangements shall include availability of requested documents and records, access to equipment, location(s), area(s), personnel, and if necessary, the same for the listee's sub-contractor(s).
  10. The factory audit report includes the audit plan.

### **10.2. Initial Inspections of New Manufacturing Facilities**

- A. To verify new manufacturing facilities are ready for an inspection, the Evaluator shall ensure the client is informed of audit requirements. Per ISO 17021-1 Section 5.3.1.2.2. b & c, this includes the following:
1. Reviewing the client's quality system documents per the requirements of ASSE's Factory Audit Report.
  2. Evaluating any site-specific conditions per discussion with the client, such as:
    - a. Security;
    - b. Parking;
    - c. Special or unique permissions to enter the facility.

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3. Reviewing the client’s understanding of the scope of certification.
  4. Deciding if the client is ready for a manufacturing facility audit, determining any corrective actions to resolve, and communicating that to the client.
- B. ASSE’s Product Listing Team or an independent agency contracted by ASSE shall conduct an initial announced inspection for a manufacturing facility seeking product certification or for current listings with a new manufacturing facility location.
- C. If the inspection is for a manufacturer seeking product certification, the inspection shall be conducted prior to the certification decision.
- D. The inspection shall review whether the manufacturing facility has an acceptable quality control system in conformance with R019 of these procedures and that the system is implemented per the facility’s quality control manual.
- E. The following shall be inspected at each facility:
1. Quality System Review in accordance with Section 9.3 of ISO 17021.
  2. Control of Materials:
    - a. Verify incoming materials in accordance with Section 9.3 of ISO 17021.
    - b. Calibration in accordance with Section 6.2 of ISO/IEC 17020.
  3. Inspection and Testing:
    - a. Product verification in accordance with Section 9.3 of ISO 17021.
    - b. Calibration in accordance with Section 6.2 of ISO/IEC 17020.
    - c. Seal usage in accordance with Section 8.3 of ISO/IEC 17021.
  4. Control of Non-Conforming Product in accordance with Section 9.4 of ISO/IEC 17021.
  5. Corrective and Preventive Action in accordance with Sections 8.7 and 8.8 of ISO/IEC 17020.
  6. Complaint Resolution in accordance with Sections 7.5 and 7.6 of ISO/IEC 17020.
- F. The Product Listing Team shall analyze the manufacturing facility audit and decide whether the facility meets the requirements of the A-002 Seal Control Procedures.
- G. An initial manufacturing audit may be found compliant if a current audit report is available from an ISO 17065 accredited certification body or if requirements of Transfer Applications per Section 12.2.B are met.

**10.3. Annual Inspection Procedures for Current Listed Manufacturing Facilities**

- A. During an inspection at all listed manufacturers’ locations, ASSE inspectors shall perform the following functions, in addition to the requirements of Section 10.2.E:
1. Review representative samples of the listee’s product listing seals.
  2. Seals shall be selected randomly without prejudice of prior audit history.
  3. Samples shall be selected from the ASSE listed products in production on the day of inspection or from available inventory.
  4. For each seal inspected, the following sampling plan shall be followed by the ASSE inspector:

Number of Models in Seal	Number of Models to Inspect from Seal	Number of Units of Each Selected Model to Inspect from Seal
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1-5 Models	1	1
6-15 Models	2	1
16 Models and over	3	1

- B. ASSE reserves the right to select additional seals if a reasonable suspicion exists that a listed model is not being produced in accordance with the ASSE Standard, A-002 Seal Control Procedures and/or Product Listing Contract. Such additional inspection would be above the random seal selection. Reasonable suspicion could arise from query into the legitimacy of a listing.
- C. If product is not available from the listee’s selected product listing seals, the inspector shall review product from the non-selected (“backup”) seals.
- D. If there are no listed products available to review, the Inspector shall note this on the Factory Audit Report.
- E. During the review of the selected samples, the auditor shall request a current bill of materials (or drawings, if applicable) to be sent to the Product Listing Team for review to confirm no unauthorized modifications have been made to the product.
- F. The inspector shall record all results and observations on the ASSE Factory Audit Report.
- G. The inspector shall ensure that each section of the Factory Audit Report is complete. The signed and dated Factory Audit Report shall be returned to the ASSE International Office within thirty (30) days of the inspection.
- H. The Product Listing Team shall review the completed Factory Audit Report and generate a letter to be sent to the listee with the results of the inspection.

**10.4. Retesting of Product Listings as Result of a Factory Audit**

- A. ASSE reserves the right to randomly select a model(s) for testing to the applicable section(s) of the standard from a series of models for each seal.
- B. The period for retesting shall not exceed five years.
- C. Inspectors shall select two sample(s) of the same model and size for retesting at the listee’s designated listed testing laboratory or complete in house testing to be witnessed by the ASSE Inspector provided the requirements of Section 10.9 of these procedures are met.

Number of Models in Seal	Number of Models to Select for Retest per Seal	Number of Units per Selected Model(s) for Retest
1-5 Models	1	Minimum 2
6-15 Models	2	Minimum 2
16 Models and over	3	Minimum 2

- D. For sample(s) to be forwarded to an ASSE listed testing laboratory, the ASSE inspector shall:
  1. Complete the Instructions for Testing for Audits form to be included with the selected sample(s).
  2. Tag the selected samples with a means to identify any tampering.

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- E. The manufacturer/listee contact shall promptly forward one of the selected sample(s) to the listed testing laboratory by the best means available. The second sample shall remain at the factory as a back-up sample. If the manufacturer/listee contact is unable to forward the selected sample(s), they shall immediately notify the ASSE Product Listing Team, in writing, explaining the reason for the delay.
- F. If, during an annual inspection, samples are not available for the required testing, the listee shall be notified, in writing, that samples were not available and have the option of forwarding the required samples from the factory with a copy of the Instructions for Testing for Audits form to a listed testing laboratory or the ASSE Product Listing Team will arrange the purchase of the required samples and forward the samples with a copy of the Instructions for Testing for Audits form to the listee's designated listed testing laboratory.
- G. All costs involved for the purchase and shipping of the samples by ASSE shall be the responsibility of the listee.
- H. Upon receipt, the listed testing laboratory shall perform testing on the sample(s) in accordance with the applicable section(s) of the standard, as noted on the Instructions for Testing for Audits form and the latest edition of the A-002 Seal Control Procedures.
- I. The listed testing laboratory and/or listee shall forward one copy of the completed Factory Audit Inspection Test Report form to the attention of the Product Listing Team and one copy to the listee.
- J. The Evaluator(s) shall evaluate the report for continued compliance.
- K. If the selected product(s) was found in compliance, the listee shall be notified, in writing and the record will be updated to reflect the new testing date.
- L. If the Factory Audit Inspection Test Report Form reveals that the products were found not in compliance with the standard, the procedures in Section 9.3 shall be followed.

#### 10.5. Two Categories of Product Failures

- A. **Affected product(s)** - ASSE listed product that fails to meet the requirements of the applicable sections of the product standard during in house witness testing or at a listed testing laboratory. For further information regarding affected products, refer to Section 10.6.
- B. **Infringed product(s)** – non-conforming product or product that displays the ASSE Seal prior to receiving authorization. For further information regarding infringed products, refer to Section 9.7.

#### 10.6. Affected Product(s) Disposition

- A. If the first sample of the selected ASSE listed product tested in-house or at an ASSE listed testing laboratory as part of an ASSE listing compliance inspection fails to comply with the applicable sections of the product standard(s), a second sample shall be tested.
- B. An evaluator from the product listing team shall take the following actions:
  - 1. Inform the listee of the failure of the 1<sup>st</sup> sample and request the backup sample be sent to the lab for testing.
  - 2. Request an explanation from the listee describing why the product failed.

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3. Record a corrective action describing the failure in ASSE Corrective Action Report (CAR) log.
- C. Should the second sample of the selected ASSE listed product fail the necessary retesting, the procedures as outlined in Section 9.3 shall be followed.
- D. Should a failure of the testing of the first selected ASSE listed product and passing of the second sample, the Evaluator will evaluate the test results and written explanation. The Evaluator may take any of the following actions based on their evaluation:
  1. Close the corrective action and allow the model to continue to be certified;
  2. Request additional testing;
  3. Suspend the model until additional testing is completed or additional explanation is provided.

### **10.7. Infringed Products**

If any non-conforming products or non-listed products displaying the ASSE Seal are found during an annual inspection or through any other means, the following procedures shall be followed:

- A. All non-conforming products or non-listed products displaying the ASSE Seal shall be designated "infringed products."
- B. Immediately upon notification by ASSE, the manufacturer shall perform the following:
  1. Place on hold all quantities of the "infringed products" remaining in inventory.
  2. Within ninety days, recall all the "infringed products" that have been delivered to third parties.
  3. Remove the ASSE Seal from the non-conforming or non-listed product, both in-house and in the field.
  4. Schedule an inspection within 90 days from notification, both in house and at large, to ensure that the ASSE Seal has been removed from all applicable products.
  5. If the removal of the ASSE Seal from the "infringed product(s)" is not accomplished within 90 days, unless prior arrangements for an extension have been made with ASSE, ASSE shall contact legal counsel for violation of federal and/or state laws.

### **10.8. Multiple Plants / Same Product(s)**

- A. Some manufacturers or listees fabricate the same model(s) and size(s) at more than one manufacturing location.
- B. Each manufacturing location shall require, at a minimum, an annual inspection per the procedures defined in Section 10.3.
- C. The product shall be retested per Section 10.4 for each manufacturing location.

### **10.9. In-House Witness Testing Criteria**

- A. In-house witness testing shall be conducted under the supervision of a qualified ASSE representative along with a supervision from the listee such as the director of engineering, an in-house laboratory director or a manufacturer's factory representative.
- B. Qualifications of the ASSE representative (including subcontractors):
  1. ISO/IEC 17025 Training



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2. ISO/IEC 9001 Training
3. Five years of experience in auditing and/or plumbing
- C. Capabilities of the manufacturing facility to conduct in-house testing to ASSE Standards should include:
  1. Personnel
  2. Equipment
  3. Records of maintenance and calibration
  4. Current copy of the applicable standard
- D. In-house witness testing should be arranged by the ASSE representative prior to the audit to ensure the testing equipment can be set-up and that the product is available.

#### **10.10. Corrective Action**

- A. If a deficiency is found during an inspection regarding the listed product(s) or the manufacturer's / listee's quality control system, the listee will be notified in writing by ASSE.
- B. The listee shall be responsible to submit corrective action or ensure that the manufacturer, if different than the listee, submits corrective action.
- C. All corrective actions shall be submitted to ASSE within 60 days from notification.
- D. If the necessary corrective action is not submitted by the deadline, ASSE shall notify the Listee that the Listee has 10 additional business days to submit the corrective action or arrange a timeline as agreed on.
- E. If the Listee has not responded within the 10 business days, the procedures in Section 9.5 shall be followed.
- F. Corrective actions shall be recorded and tracked in the issue log.

#### **10.11. Payment of Expenses (Infringed or Affected Products)**

The listee shall be invoiced for all costs incurred as a result of the unauthorized use of the ASSE Seal or product failures including, but not limited to, testing and additional follow-up inspections as determined by ASSE (including travel expenses and ASSE costs).

#### **10.12. Oversight of Inspection Body**

The Manager of Product Certification and Standards is responsible for the auditing activities stated in 14.

- A. ASSE or an ASSE-appointed representative shall conduct an initial audit of the inspection body. During the time of the audit, the auditor will review the inspection body's capabilities, quality control system, and personnel and ensure that the inspection body meets applicable requirements of ISO/IEC 17020 Sections 7.1 and 7.2.
  1. The inspection body shall be responsible for the audit's fees.
- B. The scope of the audit shall cover the standards within the scope of ASSE's accreditation that the inspection body desires to be able to inspect.
- C. As an alternative to Section 10.3 A, the inspection may show compliance by having an audit completed by an International Laboratory Accreditation Corporation (ILAC) signatory or the

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Standards Council of Canada (SCC). The report shall be sent from the ILAC accreditor or the SCC directly to the Manager of Product Certification and Standards.

- D. ASSE auditors and ASSE-appointed auditors who audit manufacturing facilities shall show evidence of competency to ISO/IEC 17020 Sections 7.1 and 7.2.
- E. The inspection body shall be responsible for the audit's fees.

**10.13. Competence of Independent Agencies as Inspection Bodies**

See A-072C .

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## **11. FEES**

### **11.1. Fees**

- A. ASSE maintains a system of fees for work performed and related expenses incurred.
- B. The fee structure is available upon written request to the Product Listing Team.

### **11.2. Payments**

- A. All invoices shall be paid as per the stated terms.
- B. Invoices thirty (30) days past due may be charged an additional late fee.
- C. Past due accounts shall be cause for involuntary delisting of the product listing(s).

## **12. PRODUCT LISTING AND LABORATORY RECORDS**

### **12.1. Access to Product Listing Records**

- A. ASSE Staff members involved in the Product Listing Program shall have unrestricted access to the product listing and laboratory files.
- B. ASSE Seal Control Board and Board of Directors members who do not have a conflict of interest with the manufacturers or laboratory's shall have access to the product listing or laboratory records in the presence of an ASSE Staff member involved in the Product Listing Program only with the written approval of the Executive Director and ASSE's Legal Counsel.
- C. For the purpose of continued compliance for ANAB and SCC accreditation, ANAB and SCC auditors shall have supervised access to the files after approval from the Executive Director and in the presence of an ASSE Staff member who is involved in the Product Listing Program.
- D. Situations may arise in which a representative from a regulatory authority may request access to a product listing or laboratory record. Such requests shall be made in writing to ASSE with rationale as to why access to the record is being requested. Access shall only be granted after notification has been made to the listee or laboratory and written permission has been obtained from the listee or laboratory. An ASSE staff member involved in the Product Listing Program shall be present during the review. No copies from the product listing record shall be taken from the ASSE International Office.
- E. Parties reviewing product listing or laboratory records as explained in Sections 12.1 C & D may be required to sign a non-disclosure agreement.
- F. ASSE Inspectors shall be provided information as determined by the Product Listing Team for the purpose of conducting a factory audit.
- G. Copies of a listee's or laboratory's application materials may be forwarded by the Product Listing Team upon written request only from the contact person on record and/or his/her designee.
- H. If ASSE records are being subpoenaed, the listee or laboratory shall be contacted prior to the information being released or reviewed.
- I. Product listing or laboratory files shall not be supplied to any person or organization outside of the listed company or laboratory unless written permission is granted by the listee or laboratory.

### **12.2. Active Product Listing and Laboratory Records**

- A. Active listee records include any records which have a current product listing.
- B. Active laboratory records include any records which are part of a currently listed testing laboratory.
- C. Active records are kept for the duration of the listing at the ASSE International Office.

### **12.3. Inactive Product or Laboratory Listing Records**

- A. The records are moved to an inactive status in the event of either a voluntary or involuntary removal of the product listing or listed testing laboratory.

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- B. Records that have been inactivated shall be retained for a period of seven years.
- C. At the completion of the seven-year period, the manufacturer or laboratory shall have the option of having the files returned at their expense. Otherwise, ASSE shall destroy or retain the files.

**12.4. Suspended Product Listing Records**

- A. Suspended records are maintained with the active files until such time as the product listing or laboratory is moved to inactive status.

## **13. TRANSFER APPLICATIONS AND SECONDARY REVIEWS & DECISIONS**

This section describes the full transfer application process.

### **13.1. Transfer Application Submittal**

- A. The transfer application shall include evidence of current, non-expired certification of the product sent from a certification body accredited to ISO 17065 by an International Accreditation Forum (IAF) signatory. It shall also include all the items requested in Section 3.1.A.2.
- B. For cases where the transfer is only for a Canadian cASSE listing in addition to an existing ASSE listing, it is at the Evaluator(s)'s discretion to require assembly or individual detailed drawings.

### **13.2. Evaluation of Transfer Applications**

- A. The Evaluator(s) shall:
  - 1. ensure that ASSE has the technical expertise for the certification review of the application submitted;
  - 2. verify the documents application package is complete;
  - 3. evaluate the documents as submitted by the applicant including, but not limited to, laboratory report, certifications, drawings, markings, verification of compliance for toxicity requirements (if applicable), installation instructions and spare parts lists;
  - 4. evaluate and confirm any proposed bracketing by the applicant.
  - 5. Ensure that no on-going non-conformities exist with the owner of the existing listing. Have client provide a declaration as such. Reference Transfer checklist.
- B. An inspection of the manufacturing facility prior to listing is not required. It is assumed that the currently accredited certification body is performing inspections per ISO 17020 and 17021. A continued compliance inspection shall be completed within one year of listing.
- C. If the applicant seeking certification with ASSE is different from the entity which owns the existing certification upon which the proposed transfer is based, the applicant shall provide:
  - 1. A letter of authorization from the owner of the existing listing allowing the applicant use of test reports and supporting data (as defined in 3.1) related to the product(s) being considered for transfer.
  - 2. Copies of such data for all models to be transferred. ASSE has the right to request the product be tested partially or completely to the standard.
- D. The process shall continue with a review and decision per sections 3.7 and 3.8, respectively.

## **14. ADDITIONAL REQUIREMENTS FOR THE CANADIAN MARKET**

### **14.1. Introduction**

There are additional requirements as set forth in *Requirements and Guidance - Product, Process, and Service Certification Body Accreditation Program* that are unique to operating in the Canadian market. Those requirements as applied to ASSE are stated below.

### **14.2. Scopes of Listings**

- A. Listing of products to standards in Appendices B and C shall only be valid for those standards, Listing Evaluation Criteria (LEC)'s, or other normative documents that have been recognized by a Canadian Regulatory Authority. This listing shall be recognized in regulated areas.
- B. ASSE may list a product to a National Standard of Canada or to a standard developed in accordance with ISO/IEC 17007 if they are stated in Appendices B and C. This listing shall be recognized in unregulated areas.
- C. ASSE shall advise the relevant AHJ of any known reported misuse of the certification mark. The notification shall be in writing and be provided in both of Canada's official languages. The CB shall copy SCC on all such correspondence.
- D. If any Authority Having Jurisdiction requests the cessation of certification of a product to the requirements stated within a particular standard or an ORD, the CB shall inform the SCC and take appropriate actions put forward by respective Authority Having Jurisdiction.

### **14.3. ASSE Seal and cASSE Seal Use in Canada**

Display of the seals in Canada follows the same requirements as described in Section 6.

### **14.4. Knowledge of Canadian Standards, ORD's, and Regulations**

The Product Listing Team or their designee shall maintain a comprehensive knowledge of regional, national, and international standards and certification. The Product Listing Team or their designee shall also maintain up-to-date knowledge of Canadian recognized standards, ORD's, and regulations. Contracted employees will attend meetings with Regulatory Authorities as required.

### **14.5. Compliance to Canadian Regulatory Authorities**

- A. When necessary, as deemed by and informed by Canadian Regulatory Authorities, ASSE shall comply with those requirements as applicable to the scope of accreditation while operating within Canada.
- B. The Manager of Product Certification and Standards is responsible for this activity.

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**APPENDIX A – COMMUNICATIONS**

- A. All written communications, including e-mail and facsimiles, shall be maintained with the applicant's records. Dates of notifications shall be as stated on the communications, unless otherwise noted.
- B. Applications, documents, drawings (if applicable), ballots and written letters shall be forwarded to the voting members of the Seal Control Board electronically.



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**APPENDIX B – ASSE PRODUCT STANDARDS ADOPTED**

The following is a list of ASSE Product Standards to which a manufacturer may obtain ASSE certification. The list applies to the current edition of the referenced standards. For list of standards for Canadian market, reference A-102.

ASSE 1001	Atmospheric Type Vacuum Breakers
ASSE 1003	Water Pressure Reducing Valves for Domestic Water Distribution Systems
ASSE 1004	Backflow Prevention Requirements for Commercial Dishwashing Machines
ASSE 1006	Residential Use Dishwashers
ASSE 1007	Home Laundry Equipment
ASSE 1008	Plumbing Aspects of Residential Food Waste Disposer Units
ASSE 1009	Commercial Food Waste Grinder Units
ASSE 1010	Water Hammer Arresters
ASSE 1011	Hose Connection Vacuum Breakers
ASSE 1012	Backflow Preventers with Intermediate Atmospheric Vent
ASSE 1013	Reduced Pressure Principle Backflow Preventers Assemblies
ASSE 1014	Backflow Prevention Devices for Hand-Held Showers
ASSE 1015	Double Check Backflow Prevention Assemblies
ASSE 1017	Temperature Actuated Mixing Valves for Hot Water Distribution Systems
ASSE 1018	Trap Seal Primer Valves – Potable Water Supplied
ASSE 1019	Wall Hydrant with Backflow Protection and Freeze Resistance
ASSE 1020	Pressure Vacuum Breaker Assembly
ASSE 1021	Drain Air Gaps for Domestic Dishwashers Applications
ASSE 1022	Backflow Preventer for Beverage Dispensing Equipment
ASSE 1023	Hot Water Dispensers Household Storage Type - Electrical
ASSE 1024	Dual Check Valve Backflow Preventers
ASSE 1030	Positive Pressure Reduction Devices for Sanitary Drainage Systems
ASSE 1032	Dual Check Valve Type Backflow Preventers for Carbonated Beverage Dispensers, Post Mix Types
ASSE 1035	Laboratory Faucet Backflow Preventers
ASSE 1044	Trap Seal Primer Devices - Drainage Type and Electronic Design Types
ASSE 1047	Reduced Pressure Detector Backflow Prevention Assemblies
ASSE 1048	Double Check Detector Prevention Assemblies
ASSE 1049	Individual and Branch Type Air Admittance Valves for Chemical Waste Systems
ASSE 1050	Stack Air Admittance Valves for Sanitary Drainage Systems
ASSE 1051	Individual and Branch Type Air Admittance Valves for Sanitary Drainage Systems
ASSE 1052	Hose Connection Backflow Preventers
ASSE 1053	Dual Check Backflow Preventer Wall Hydrants - Freeze Resistant Type
ASSE/IAPMO 1055	Chemical Dispensing Systems

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- ASSE 1056 Spill Resistant Vacuum Breaker
  - ASSE 1057 Freeze Resistant Sanitary Yard Hydrant with Backflow Protection
  - ASSE 1060 Outdoor Enclosures for Fluid Conveying Components
  - ASSE 1061 Push-Fit Fittings
  - ASSE 1062 Temperature Actuated, Flow Reduction (TAFR) Valves for Individual Fixture Fittings
  - ASSE 1063 Air Valve & Vent Intake Preventer
  - ASSE 1064 Backflow Prevention Assembly Field Test Kits
  - ASSE 1066 Individual Pressure Balancing In-Line Valves for Individual Fixture Fittings
  - ASSE 1069 Automatic Temperature Control Mixing Valves
  - ASSE 1071 Temperature Actuated Mixing Valves for Plumbed Emergency Equipment
  - ASSE 1072 Barrier Type Floor Drain Trap Seal Protection Devices
  - ASSE 1079 Dielectric Pipe Unions
  - ASSE 1081 Backflow preventers with Integral Pressure Reducing Boiler Feed Valve and Intermediate Atmospheric Vent Style for Domestic and Light Commercial Water Distribution Systems
  - ASSE 1082 Water Heaters with Integral Temperature Control Devices for Hot Water Distribution Systems
  - ASSE 1084 Water Heaters with Temperature Limiting Capacity
  - ASSE 1085 Water Heaters for Emergency Equipment
  - ASSE 1086 Reverse Osmosis (RO) Water Efficiency – Drinking Water
  - ASSE 1087 Commercial and Food Service Water Treatment Equipment Utilizing Drinking Water
  - ASSE 1090 Drinking Water Atmospheric Water Generators (AWG)
  - ASSE 1093 Pitless Adapters, Pitless Units, and Well Caps
  - ASSE 1098 Vacuum Toilet Assemblies and Galley Waste Disposal Units on Passenger Aircrafts
  - ASSE 1099 Pressurized water tanks
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- ASSE 1002/ASME A112.1002/CSA B125.12 Anti-siphon Fill Valves
  - ASSE 1016/ASME A112.1016/CSA B125.16 Automatic Compensating Valves for Individual Showers and Tub/Shower Combinations
  - ASSE 1037/ASME A112.1037/CSA B125.37 Pressurized Flushing Devices for Plumbing Fixtures
  - ASSE 1070/ASME A112.1070/CSA B125.70 Water Temperature Limiting Devices

**ORD's**

- ORD/ASSE LEC 2009 Backflow Preventer and Automatic Boiler or Chiller Filling Device with Pressure Regulating Management
- ORD/ASSE LEC 2010 Proportional Flow Control Devices, with Protection from Cross-Contamination via Hydronic Water, for use in Drinking Water Installation

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## APPENDIX C – ADDITIONAL INDUSTRY STANDARDS ADOPTED

The following is a list of industry standards to which a manufacturer may obtain ASSE certification. The list applies to the current edition of the referenced standards,  
For list of standards for Canadian market, reference R-102-A

### ASME STANDARDS

A112.1.2	Air Gaps in Plumbing Systems (For Plumbing Fixtures and Water-Connected Receptors)
A112.1.3	Air Gap Fittings for use with Plumbing Fixtures, Appliances and Appurtenances
A112.14.1	Backwater Valves
A112.18.3	Backflow Protection Devices and Systems in Plumbing Fixture Fittings
A112.18.7	Deck Mounted Bath/Shower Transfer Valves with Integral Backflow Protection
A112.19.5	Trim for Water-Closet Bowls, Tanks and Urinals
A112.19.10	Dual Flush Devices for Water Closets
A112.21.3M	Hydrants for Utility and Maintenance Use
A112.3.1	Stainless Steel Drainage Systems for Sanitary DWV, Storm, and Vacuum Applications, Above and Below Ground
A112.36.2M	Cleanouts
A112.4.1	Water Heater Relief Valve Drain Tubes
A112.6.1M	Floor Affixed Supports for Off-the-Floor Plumbing Fixtures for Public Use

### ASME & CSA Standards

A112.18.1/CSA B125.1	Plumbing Supply Fittings
A112.18.2/CSA B125.2	Plumbing Waste Fittings
A112.19.1/CSA B45.2	Enameled Cast Iron and Enameled Steel Plumbing Fixtures
A112.19.2/CSA B45.1	Ceramic Plumbing Fixtures
A112.19.3/CSA B45.4	Stainless Steel Plumbing Fixtures

### CSA Standards

CSA B64 Series	Backflow Preventers and Vacuum Breakers (Consists of B64.0, B64.1.1, B64.1.2, B64.1.3, B64.1.4, B64.2, B64.2.1, B64.2.1.1, B64.2.2, B64.3, B64.3.1, B64.4, B64.4.1, B64.5, B64.5.1, B64.6, B64.6.1, B64.7, B64.8 and B64.9)
CSA B356	Water Pressure Reducing Valves for Domestic Water Supply Systems

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**AWWA Standards**

- AWWA C508 Swing-Check Valves for Waterworks Service 2 inch through 24-inch NPS
- AWWA C510 Double Check Valve Backflow Prevention Assembly
- AWWA C511 Reduced Pressure Principle Backflow Prevention Assembly
- AWWA C512 Air-Release, Air/Vacuum, and Combination Air Valves for Water and Wastewater Service
- AWWA C517 Resilient-Seated Cast-Iron Eccentric Plug Valves

**IAPMO STANDARDS**

- PS 050 Flush Valve with Dual Flush Device for Water Closet or Water Closet Tank with Integral Flush Valve with Dual Flush Device
- PS 072 Valves with Atmospheric Vacuum Breaker
- PS 076 Ballcock or Flushometer Valve Tailpiece Trap Primers and Trap Primer Receptors/Adapters
- PS 079 Multiport Electronic Trap Primer
- PS 101 Suction Relief Valves
- PS 113 Hydraulically Powered Household Food Waste Disposers

**NSF STANDARDS**

- NSF/ANSI/CAN 61 Drinking Water System Components – Health Effects
- NSF/ANSI 372 Lead Free Plumbing Products (Water Filtration)

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## **APPENDIX D – CONTRACTED AGENCIES**

ASSE may use an outsourced agency under contract to perform work on behalf of ASSE. Agency contact information and listed testing abilities are located within the ASSE database or the ASSE website. ASSE's current list of contracted agencies includes:

As an inspection body performing annual inspections in accordance with 14 of these procedures:

- IAPMO R&T

As a listed laboratory testing product for evaluation in accordance with 15 of these procedures:

- Apollo/Conbraco
- CSA Group Laboratory
- IAPMO R&T Laboratory
- In-Sink-Erator
- Guangzhou IAPMO Laboratory
- Kohler Lab
- NSF International
- QAI Laboratories
- Sloan Flushmate
- Steven Institute of Technology
- University of Southern California School of Engineering FCCCHR
- Zurn/Wilkins

As a translator and interpreter:

- Multilingual Connections

As a toxicological evaluator:

- Tox Services
- IAPMO R&T
  - IAPMO R&T Tox Services are part of the ASSE Product Listing Team.